



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application of: R. Cohen, et al.) Group Art Unit: 2124
Serial No.: 10/716,391) Examiner: To be Assigned
Filed: November 17, 2003) Attorney Docket No.: HAE-001.01
For: *Systems and Methods for Computing*) (24612-101)
Performance Parameters of Securities)
Portfolios)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.56 and 1.97**

Dear Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants and/or their Attorney in compliance with the requirements of 37 C.F.R. § 1.56. Pursuant to the July 11, 2003 Pre-Official Gazette Notice, only copies of the non-US patent references (References AB-AG) are being submitted. Applicants respectfully request that the Examiner consider the listed documents and indicate they were considered by making appropriate notations on the attached Form PTO-1449.

This submission does not represent that a search has been made or that no better art exists. Nor does it constitute an admission that the cited documents are material or constitute "prior art." If the Examiner applies the listed documents as prior art against any claim in the application and Applicants determine that the cited documents do not constitute "prior art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the claimed subject matter over the listed

documents, should one or more of the referenced documents be applied against the claims of the present application.

No fee is believed due. If a fee is occasioned or if extensions of time are necessary, the Commissioner is authorized to charge any fee deficiency or credit overpayment to our **Deposit Account No. 06-1448, Ref. HAE-001.01.**

Respectfully Submitted,

Date: March 16, 2004

Customer No: 25181

Patent Group

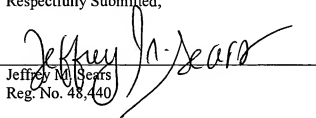
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/716,391
Filing Date	November 17, 2003
First Named Inventor	Randolph B. Cohen
Art Unit	2124
Examiner Name	To be assigned
Attorney Docket Number	HAE-001.01 (24612-101)
Total Number of Pages in This Submission	4+

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	PTO Form 1449 listing refs. AA-AH; Copy of listed ref. AH; and Return postcard.
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	

Remarks

Customer Number : 25181

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Jeffrey M. Sears
Signature	
Date	March 16, 2004

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Steve Pereira		
Signature		Date	March 16, 2004

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